

FORM PTO-1390  
(REV 5-93)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

155/50674

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

{Not Yet Assigned}

**10/019056**

INTERNATIONAL APPLICATION NO.

PCT/JP01/03635

INTERNATIONAL FILING  
DATE

April 26, 2001

PRIORITY DATE CLAIMED

April 27, 2000

TITLE OF INVENTION

SEMICONDUCTOR WAFER AND APPARATUS OF PROCESS FOR FABRICATING SEMICONDUCTOR DEVICES

APPLICANT(S) FOR DO/EO/US

SHIN-ETSU HANDOTAI CO., LTD.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is FIRST submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371
  3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☒ has been transmitted by the International Bureau
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2).
  7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3).
  9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Item 11. to 16. below concern other document(s) or information included:
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information: Application Data Sheet, PTO 1449 w/Int'l Search Report), Form PCT/IB/308.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) (Not Yet Assigned) <b>155/50674</b>		INTERNATIONAL APPLICATION NO. <b>2000-128502</b>		ATTORNEY'S DOCKET NUMBER <b>155/50674</b>			
17. [X] The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1)-(5): Search Report has been prepared by the EPO or JPO \$890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$710.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2) \$740.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO \$1040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) 92.00 \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS		PTO USE ONLY	
				\$ 890.00			
Surcharge of \$130.00 for furnishing the oath or declaration later than [X] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00			
Claims	Number Field	Number Extra	Rate				
Total Claims	19-20=	0	X \$18.00	\$			
Independent Claims	6-3=	3	X \$84.00	\$ 252.00			
Multiple dependent claims(s) (if applicable)			+ \$280.00	\$			
TOTAL OF ABOVE CALCULATIONS =				\$ 1,272.00			
Applicant Claims Small Entity Status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$			
SUBTOTAL =				\$ 1,272.00			
Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$			
TOTAL NATIONAL FEE =				\$ 1,272.00			
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28,3.31). \$40.00 per property +				\$			
TOTAL FEE ENCLOSED =				\$ 1,272.00			
				Amount to be: \$			
				refunded			
				charged		\$	
a. [ ] A check in the amount of \$_____ to cover the above fees is enclosed. b. [ X ] Please charge my Deposit Account No. <u>05-1323</u> in the amount of \$ <u>1,272.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. [ ] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>05-1323</u> (Docket # 155/50674). A duplicate copy of this sheet is enclosed.							
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.							
SEND ALL CORRESPONDENCE TO: CROWELL & MORING L.L.P. 1200 G Street, N.W., Suite 700 Washington, D.C. 20005 Tel. No. (202) 628-8800 Fax No. (202) 628-8844							
				SIGNATURE			
				J. D. Evans			
				NAME			
				26,269			
				REGISTRATION NUMBER			
				December 27, 2001			
				DATE			